



State Form 50552 (R2 / 8-03)

Indiana Department of Natural Resources
Division of Historic Preservation and Archaeology
402 West Washington Street, Room #W274
Indianapolis, IN 46204-2739
317-232-1646

HISTORIC PRESERVATION FUND

ARCHITECTURAL AND HISTORICAL

GRANT APPLICATION PACKET

For Federal Fiscal Year 2004

**A PROGRAM OF THE NATIONAL PARK SERVICE,
U.S. DEPARTMENT OF THE INTERIOR**

**ADMINISTERED BY THE INDIANA DEPARTMENT OF NATURAL RESOURCES,
DIVISION OF HISTORIC PRESERVATION AND ARCHAEOLOGY**



FY 2004 HISTORIC PRESERVATION FUND ARCHITECTURAL & HISTORICAL GRANT APPLICATION

INTRODUCTION

The Division of Historic Preservation and Archaeology (DHPA), part of the Indiana Department of Natural Resources, is the state agency responsible for the administration of the National Historic Preservation Act of 1966. This Act authorizes the Secretary of the Interior, through the National Park Service, to provide money from the Historic Preservation Fund (HPF) to the states for the purpose of carrying out historic preservation activities. In Indiana, a large portion of these funds are allocated as matching grants to various parties who agree to undertake specific projects that will assist the State in meeting its preservation goals and objectives.

The information on the following pages describes the grant program more fully and explains the process for requesting grant funds. Grant applications for FY2004 will be accepted by the Division of Historic Preservation and Archaeology until **5:00 p.m. Friday, October 10, 2003**. After evaluation by DHPA Staff, all applications (except any that propose non-eligible activities) will be presented to the Indiana Historic Preservation Review Board at its first meeting in 2004, which is tentatively scheduled for mid-January. This Board will select for funding those projects which best meet the state and federal guidelines and priorities for the HPF matching grants program. Applicants will be notified of the Board's decision regarding their project proposals no later than **February 28, 2004**. However, no work can begin until a formal grant agreement has been concluded between the applicant and the State. This process is normally completed by the end of April or May. All grant projects **MUST** be completed by **June 30, 2005**.

PART I: GENERAL GUIDELINES

A. Types of Projects

Federal regulations specify that only certain types of preservation projects are eligible for funding under this grants program, including Architectural and Historical projects, Archaeological projects, and Acquisition and Development projects. This application packet is designed specifically for **Architectural and Historical** projects, which include the following:

1. Surveys of historic and/or architectural resources within defined geographical areas.
2. Other survey projects relating to the identification, evaluation, and protection of National Register-eligible historic and/or architectural resources.
3. Preparation of National Register nominations for properties or districts that the DHPA agrees are potentially eligible for listing in the National Register.
4. Public information programs (including publications, workshops, training sessions, etc.) that directly relate to or help explain federal or state preservation programs.
5. Planning projects which are specifically designed to assist the State in updating and refining its statewide comprehensive historic preservation plan (*Indiana's Cultural Resources Management Plan*) by identifying and developing historic contexts or study units. Applicants should contact the DHPA for more information before applying for a project of this nature.
6. Preparation of architectural and/or engineering plans and specifications for the preservation, rehabilitation, or restoration of an historic site or structure that is **currently listed** in the National Register of Historic Places, or which has been nominated and **will be listed** before the proposed project begins. The resulting plans and specifications must be prepared in accordance with the **Secretary of the Interior's Standards for the Treatment of Historic Properties**. Please contact the DHPA if you have any questions about this type of project, or if you need more detailed information concerning the Secretary of the Interior's Standards.

7. Preparation of an Historic Structure Report (HSR) for a structure that is **currently listed** in the National Register of Historic Places, or which has been nominated and **will be listed** before the proposed project begins. Applicants should contact the DHPA for more information and the proper HSR format before applying for funds for a project of this nature.
8. Preparation of a feasibility study for a structure that is **currently listed** in the National Register of Historic Places, or which has been nominated and **will be listed** before the proposed project begins. Such a project must be designed to help determine a new adaptive use for an historic structure. A feasibility study could include an Historic Structure Report (See #7 above), along with an investigation of the current structural condition of the building, a list of suggested uses for the building (with an assessment of the positive and negative aspects of each suggested use), an explanation of any special problems impeding the reuse of the building, and a detailed estimate and breakdown of the rehabilitation and conversion costs involved.

Please note that rehabilitation or “bricks and mortar” activities are NOT covered in the “Architectural & Historical” category; you must submit an “Acquisition & Development” grant application for rehabilitation projects.

B. Eligibility Requirements

1. **Applicant Eligibility:** Eligible applicants include (a) private, non-profit organizations with 501(c)(3) tax exempt status (including local historical societies and preservation organizations), (b) educational institutions (including public and private schools, colleges, and universities), and (c) local governmental units (including city and county agencies and commissions funded by a consortium of local governments). Individuals and private, for-profit entities are not eligible to receive grant funds because federal regulations prohibit grant recipients from making a financial profit as a direct result of the grant-assisted project. Federal regulations do not allow grant funds to be awarded to active religious organizations, or to be used to assist buildings that are used primarily for religious functions. Note also that state and federal auditing and income tax regulations prevent the DHPA from making a grant award to an organization which is not incorporated, or which does not otherwise exist as a legal entity.
2. **Property Eligibility:** Properties to be assisted with grant funds (as the focus of an Historic Structure Report, feasibility study, or other planning documents) **MUST** be listed in the National Register of Historic Places at the time of application, or they must be in the nomination process and have passed both technical and substantive review at the time of application. The DHPA is forbidden from investing grant funds into properties that are not listed in the National Register; therefore, applicants should not submit grant applications for properties that are not currently listed without the approval of the DHPA Staff. Properties may be listed individually, or they may be listed as contributing resources within listed historic districts. Note that properties within the boundaries of historic districts which are designated as “non-contributing” (NC) are not eligible to receive grant funding. Properties listed in the State Register of Historic Sites and Structures which are not also listed in the National Register of Historic Places are not eligible to receive grant funding. Please note that a County Interim Report listing does not imply a National Register listing. To find out the National Register status of a property, contact the DHPA National Register Staff.
3. **Eligibility of Proposed Work Items:** Strict federal guidelines govern the activities that are allowable under this grants program. Proposed projects **MUST** fall into one of the project categories list in section A above. All proposed rehabilitation work in completed feasibility studies, Historic Structure Reports, or other planning documents prepared with grant funds **MUST** conform to the “Secretary of the Interior’s Standards for the Treatment of Historic Properties.” Planning documents that do not conform to these Standards are not eligible for reimbursement under this program. The Secretary of the Interior’s Standards provide common sense guidelines for rehabilitation efforts that will respect historic fabric and the patina of age while returning the building or structure to a state of utility.

C. Project Personnel

A Project Coordinator must be designated for any grant-assisted project. In addition, the majority of projects require a Principal Investigator.

The **Project Coordinator** is the person authorized to represent the grant recipient/project sponsor in the administration of the project. The Project Coordinator is responsible for ensuring the progress and timely completion of all work on the project, and also for submitting progress reports and reimbursement requests to the Division of Historic Preservation and Archaeology. The Project Coordinator is also the DHPA's contact for all correspondence relating to the project. While it is obvious that the Project Coordinator must be a capable, reliable, and conscientious person, there are no academic or professional requirements for this position.

The **Principal Investigator** is the person who conducts or supervises the professional aspects of the grant project. It is the Principal Investigator that is held responsible for the quality of the final product, and who would be expected to perform any remedial work required by the State. Note that the State is prevented by federal regulations from paying for work that does not meet professional standards. The Principal Investigator must meet the requirements listed in 36 CFR 61 for the appropriate discipline, and must be able to demonstrate previous experience in a similar project. (See Appendix A -- 36 CFR 61 Professional Qualifications.) In some instances it is not necessary to designate a Principal Investigator at the time of application. If the services of the Principal Investigator are included in the project budget, but the individual is not an agent or employee of the sponsoring organization, his/her services must be procured according to federal and state requirements. In this case, indicate the Principal Investigator is: "To Be Selected."

It is possible for one person to serve as both Project Coordinator and Principal Investigator, assuming that he or she has the necessary qualifications, experience, and ability. In certain instances, the proposed project may not include professional activities, thus obviating the need for a Principal Investigator (for example, some public information projects fall into this category). Grant applicants should contact the DHPA if they have any questions regarding these two positions.

D. Funding Levels

All funds distributed through the HPF grants program are awarded in the form of matching grants, which require the grant recipients or sponsoring organizations to supply a certain percentage of the total project costs. Survey projects, either architectural and historical or archaeological, are eligible for grant funding in the amount of **70%** of the total project costs; the remaining 30% of the total project costs must be paid for by the grant recipient. All other types of projects are eligible for grant funding in the amount of **50%** of the total project costs; the remaining 50% of the total project costs must be paid for by the grant recipient. Questions regarding funding levels should be directed to the DHPA's Grants Staff.

It is the general policy of the Division of Historic Preservation and Archaeology, when funding projects, to provide the maximum amount of financial support possible. Note, however, that under some circumstances, a grant providing a lesser amount of funding might be offered, with a request for a corresponding reduction in the proposed scope of work. It would then be up to the grant applicant, after consultation with the DHPA, to decide whether or not to modify the proposed scope of work, accept the grant award, and proceed with the project.

The Indiana Historic Preservation Review Board reserves the right to reject grant applications that do not include an adequate project description, or that include project budgets not commensurate with the product(s) to be created or the amount of work to be done.

The DHPA estimates that **between \$500,000 and \$600,000** will be available for distribution as grant awards. This funding amount will be distributed as follows: approximately **47%** will be targeted for Acquisition and Development projects, approximately **30%** will be targeted for Architectural and Historical projects, and approximately **23%** will be targeted for Archaeological projects. The grant amount requested for an Architectural and Historical project must be at least **\$2,000**, but cannot exceed **\$30,000**.

E. Matching Share

Because HPF grant funds can provide only a portion of the total costs of a project (as explained in D. Funding Levels, above) and **must be matched** at the ratio stipulated in the grant agreement, the grant applicant must make arrangements to provide the Matching Share. This can be done by having the grant applicant commit its own funds or services to the project, by arranging for donations from interested third parties, or by a combination of these two methods. The Matching Share can be in the form of **cash, donated in-kind services and goods, volunteer time**, or any combination of these three categories. For more information on the various types of Matching Share, refer to Part II, Section F of this document.

F. Procurement

When Historic Preservation Funds are used to procure supplies, equipment, or personal services, the purchases must be made in compliance with state and federal standards. Any procurement that takes place prior to the official start date of the grant is **void and not reimbursable** under this grants program. Any procurement that does not comply with state and federal standards is also **void and not reimbursable**. Procurement requirements will be covered in detail during the initial meeting between the grant recipients and the DHPA Staff.

G. Submitting Reimbursement Requests

Historic Preservation Fund grants are reimbursement grants. This means that the grant recipient may only receive money from the State after providing the DHPA Grants Staff with appropriate documentation showing that project costs have been incurred and that local matching funds have been expended.

The DHPA normally provides grant recipients with prompt grant payments when quarterly progress reports have been filed on time and when proper reimbursement requests have been submitted. However, **15%** of the total grant amount will be retained until the final product has been reviewed and approved by the appropriate DHPA Program Area Staff. Specific instructions on filing reimbursement requests are contained in the Grants Manual, which will be supplied to grant recipients during the initial meeting with DHPA Staff.

No grant project may result in a net financial profit for any party. Any funds generated in the course of a grant project will be considered as “program income,” and must be applied toward the total project costs. This reduction of the total project costs will result in a corresponding reduction of the grant award. Applicants who believe they may generate program income as a result of the proposed project should consult with the DHPA’s Grants Staff for advice **before** completing this application.

H. The Application Process

In order to apply for an Historic Preservation Fund (HPF) grant, carefully complete this application in accordance with the instructions set forth in Part II of this document, and return it to the Division of Historic Preservation and Archaeology **no later than 5:00 p.m. Friday, October 10, 2003**. Please note that any applications received after this deadline will not be considered for funding, and will be returned to the applicants.

Completed applications and/or questions should be addressed to:

**Grants Section
Division of Historic Preservation and Archaeology
402 West Washington Street, Room W274
Indianapolis, Indiana 46204-2739**

Additional information or advice on the HPF program may be obtained by contacting Steve Kennedy or Malia Savarino of the DHPA’s Grants Staff at **(317) 232-1646**, or **FAX (317) 232-0693**.

PART II: INSTRUCTIONS FOR APPLYING FOR FUNDS

All of the various forms needed to apply for grant funds are attached. Please supply five copies (one original and four photocopies) of the complete proposal. Specific instructions for each of these items are contained in items A through I below. Assemble five application packets (one with all of the original documents and four with all photocopies), with the parts put together in the order shown below. Whenever possible, please use the forms provided or photocopies of the original forms. Completed grant applications **must** include all of the following:

- A. Proposal Cover Sheet
- B. Grant Application Checklist
- C. Project Description and Timetable
- D. Statements on Meeting State Priorities (Administrative **and** Categorical)
- E. Project Budget
- F. Matching Share and Letters of Commitment
- G. Signed Federal Forms (4 total)
 - Signed Statement of Understanding
 - Part V Assurances
 - Signed Certification Regarding Debarment
 - Assurance of Compliance
- H. Letters of Support
- I. Resume(s)

A. Proposal Cover Sheet

This form (attached) should be completed and signed by an authorized party. Specific instructions for completing this form are given below.

1. The Project Title should reflect the kind of project that the grant applicant has proposed in this application (for example, the “Huntington Downtown National Register Historic District Nomination”). Allowable project types can be found in Part I, Section A.
2. The Project Sponsor is the **legal entity** applying for the grant (municipal government agency, educational institution, or not-for-profit organization with 501(c)(3) status). If the grant proposal is successful, it is the Project Sponsor who will be offered funding. The Project Sponsor also has the ultimate legal and financial responsibility for the project.
3. The Federal Employer’s Identification Number. This is required as part of state and federal auditing and income tax regulations.
4. Congressional District in which the project is located. This information is required by the National Park Service.
5. The name of the Project Coordinator as the individual designated by the Project Sponsor to administer the project. (See Part I, Section C, and submit the resume of this person.)
6. The name of the Principal Investigator as the professional responsible for ensuring that the final product meets all applicable state and federal standards. (See Part I, Section C.) If a member of the Project Sponsor’s staff is to be the Principal Investigator, please submit a current resume. If the Principal Investigator is not a current employee of the Project Sponsor, but will be hired later if the grant application is funded, insert “To Be Selected” in this space. Additional information on selecting professionals can be found in Part II, Section E (6).
7. Indicate the amount of federal funding requested, the matching share, and the total project cost on the appropriate lines. Note that these figures must be consistent with those contained on the subsequent Project Budget and Matching Share pages of the application.

8. Indicate the proposed schedule for the project. Do not anticipate starting any project **prior to April 1, 2004**; due to federal delays, clearance to begin a project is sometimes not granted until June. Note also that the ending date is to be **no later than June 30, 2005**. Please note that a COMPLETE DRAFT of the grant product (National Register nomination, archaeological report, feasibility study, brochure, etc.) will be due sixty (60) days in advance of the project end date. This allows the DHPA the required thirty (30) day review period, and provides thirty (30) days for the project personnel to address any revisions necessary for the final product.
9. Supply the information specifically requested in lines A through D. All grant projects must produce recognizable (and preferably tangible) products that are commensurate with the funds to be expended. Contact the Division of Historic Preservation and Archaeology if there is any confusion regarding this item.

B. Grant Application Checklist

After completing all parts of the grant application, refer to the Grant Application Checklist (attached) for instructions on how to assemble the parts of the application, and how many copies of each part are required to be submitted. Next, check off the items on the list, and submit the Checklist as part of the grant application.

C. Project Description and Timetable

Please supply a narrative statement that:

1. Provides a detailed description of the project, including the reasons for undertaking the project. For development projects, be sure to include a description of the current building conditions, the specific problems that need to be addressed, and the proposed repairs.
2. States the project goals and methodology, and indicates how the project would benefit the State and/or the local community.
3. Lists and describes the products that will result from the project (e.g., county survey, National Register historic district nomination including X number of properties, etc.).
4. Outlines a proposed time frame for the project that includes both starting and ending dates, as well as a breakdown of any "phases" or major parts of the project. Projects with ending dates later than June 30, 2004 cannot be considered for funding. Again, please note that a draft of the grant product will be due sixty (60) days in advance of the project end date to allow the DHPA a thirty (30) day review period, and also allow the Project Coordinator/Principal Investigator thirty (30) days to make any necessary changes or revisions.

This narrative should be as clear and concise as possible, and should include adequate detail to fully define the proposed scope of work. In most cases, however, this narrative should not exceed three (3) pages.

D. Statements on Meeting State Priorities

Attached you will find two different lists of priorities which the State has identified to help evaluate proposed grant projects. The priorities are based on federal requirements and recommendations, the Division's own established needs and plans, and public input from constituents throughout the state. **It is critical that applicants prepare thorough responses to BOTH the Administrative Priorities and the Architectural and Historical Priorities when completing the application. The responses to these sets of priorities are what the DHPA Staff uses to evaluate and score your proposal. Without clearly detailed and thorough responses, your proposal may not score high enough to receive grant funding.**

Please contact the DHPA if there is any uncertainty regarding the specific priorities that are applicable to your project. It is unlikely that any single project will address every priority. Similarly, some projects may only partially address certain criteria. When a proposed project does not address a particular criterion, the applicant should respond with "Proposed project does not meet this criterion," or "Not Applicable."

Grant applicants should address this section of the application carefully and thoroughly, and should demonstrate to the greatest extent possible how the proposed project relates to the DHPA's criteria. Staff recommendations will be prepared based on the point scores earned through this exercise. **Grants will not be made to any applicant scoring fewer than 60 points on the Administrative Priorities. Final authority on distribution of Indiana's grant funds rests with the Indiana Historic Preservation Review Board. A copy of the Division's procedures for the grant selection process is attached (Appendix B).**

E. Project Budget

Complete the attached Project Budget form. Be sure to account for the total cost of the proposed project, not just the federal share. Please complete each line, and insert "0" when the budget contains no costs for that particular line-item. If grant funding is offered, reimbursements may only be made for costs incurred in the line-items that include these original budget figures. The budget must be broken down as follows:

1. Personnel. This category refers only to persons on the regular payroll of the sponsoring organization. Persons employed on a contractual basis for the sole purpose of working on the grant-assisted project are accounted for in the "Contractual" line-item in the Budget.
2. Fringe Benefits. Fringe benefits for paid personnel are an allowable cost. To facilitate the budget process, fringe benefit expenses are often expressed as a percentage of the "Personnel" cost.
3. Volunteer Personnel. This category refers to persons who donate their time towards the completion of the grant-assisted project. Volunteer time is valued at minimum wage (\$5.15/hour) unless other arrangements are made in advance with the Division of Historic Preservation and Archaeology. While volunteer time can make up the entire matching share amount, it cannot exceed that amount. Note that, in general, the State prefers to fund projects that include little or no Volunteer Personnel time, since it is often difficult for the Project Sponsor to keep volunteers working on a set schedule.
4. Travel. Travel expenses may not exceed the Indiana State Auditor's rate of \$.28 per mile. If the project involves travel outside the State of Indiana, please note this in the budget and provide a justification in the Project Description.
5. Supplies. Only those items necessary for the completion of the project may be purchased under this grant. Documentation for each purchase (in the form of invoices and canceled checks or similar documents) will be required in order to receive reimbursement. Note that any single item costing more than \$250 is considered to be **equipment**, and not a supply item. Historic preservation grant funds cannot be used to purchase equipment without advance written permission from the Division of Historic Preservation and Archaeology.
6. Contractual. This category refers to the cost of professionals engaged to work on the project on a contractual basis. **Note that federal regulations require an open selection process in the hiring of all consultants and contractors connected with a federally-funded project.** The grant recipient must either advertise the position or distribute a request for proposals to a reasonable number of qualified individuals and/or firms, and must receive back at least three bona fide written bids ("No bid" replies do not count as bids). After the open selection process, the Division of Historic Preservation and Archaeology must approve of the selected consultant or contractor before the grant recipient may hire them. No person employed as a consultant (or volunteering their professional services) may be paid (or valued at) more than **\$60.29 per hour**. When hiring consultants or contractors for a grant project, the subgrantee must also provide evidence that:
 - ❖ The fee is appropriate considering the qualifications of the consultant/contractor, the fees which the consultant/contractor ordinarily charges, and the nature of the services to be provided; and,
 - ❖ That no consultant/contractor with equal experience and qualifications is available for a lesser amount.

The Division of Historic Preservation and Archaeology reserves the right to reject consultants and contractors selected by grant recipients to work on grant projects. Consultants who have failed to perform adequately on past preservation projects will not be approved (whether the Division of Historic Preservation and Archaeology either funded the project or merely reviewed the project in the course of administering state and federal

preservation programs in Indiana). **The grant applicant is warned not to make any commitments to any parties prematurely, as this could make the applicant ineligible for grant funding.** Additional information on contracting with consultants may be found in the DHPA Grants Manual, which will be supplied to grant recipients with their award letter.

7. Other. Costs which do not fall into any of the above categories should be entered on this line. Examples of items often accounted for here include printing and publishing expenses. Please indicate the nature of any expenses listed in this category.

Note: Only direct project costs are allowable -- indirect costs are NOT allowable expenses under this program. The DHPA Staff will automatically eliminate indirect costs from project budgets whenever they appear. This may severely alter a proposed project's budget, and may jeopardize its ability to be properly executed should grant funding be awarded. The grant recipient must also keep accurate records of all expenditures. These records must be able to satisfy the requirements of a federal audit.

F. Matching Share

The matching share is the amount of funding that the Project Sponsor is responsible for having “up-front,” equal to 50% of the total project cost (or 30% for survey projects). Please indicate the source of the matching share. If elements of the matching share are being provided by entities other than the sponsoring organization, attach copies of letters from those entities showing a firm and binding commitment to provide the promised donation. The “Certification of Matching Share” must be signed by the person legally authorized to commit the sponsoring organization and its funds.

There are three categories of Matching Share:

1. Cash. When grant recipients use their own funds to purchase goods or services specifically for the grant project (i.e., goods or services which recipients would not otherwise be purchasing as part of their own on-going programs), or when a third party donates cash to the grant recipient for the same purpose, it is considered to be a cash donation to the grant project. This would include situations where grant recipients use their own funds to hire a temporary employee or a consultant solely and specifically to work on the grant project, where they use their own funds to purchase supplies for use on the project that are not ordinarily stocked in their own supply room, or where they receive cash from a third party to help them do either of the preceding activities.
2. In-Kind Services and Goods. When grant recipients arrange to perform some or all of the grant work by using their existing staff and by drawing supplies from their own supply room, or when a third party draws on its own existing staff and supplies to assist the project, it is considered to be an in-kind donation to the grant project.
3. Volunteer Services. When the grant recipient arranges to have individuals perform work on the project without any remuneration, it is considered to be a volunteer services donation to the grant project. Establishing the value of volunteer services can be difficult. If the volunteer is normally a paid professional in a given field of endeavor, and is providing free services in that same field, then it is usually possible to value the volunteer's time using their regular hourly rate of pay. However, such an arrangement must be approved in advance by the Division of Historic Preservation and Archaeology. Ordinarily however, volunteer services are valued at minimum wage (\$5.15/hour). Accurate time sheets must be kept to document the amount of volunteer services performed.

G. Signed Federal Forms (4 total)

The (a) Statement of Understanding, (b) Part V -- Assurances, (c) Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion, and (d) Assurance of Compliance must be signed by the person who is legally authorized to commit the applicant organization. Review these statements carefully before signing them, and contact the DHPA if any questions arise. Executive Order 12549 (as given in 43 CFR Part 12, Section 12.510) states that entities debarred or suspended from participation in transactions with any federal department or agency are likewise debarred from transactions with other federal departments or agencies. Because federal historic

preservation grant funds are passed on to grant recipients through the state, grant applicants must sign and return the Certification Regarding Debarment, to insure that they do not involve parties who are debarred in this proposed project. To determine whether an organization or entity has been debarred or suspended, contact the DHPA, or the General Services Administration at (202) 501-4873. **A grant application cannot be considered for funding unless ALL of these documents have been executed and submitted.**

H. Letters of Support

The DHPA strongly encourages grant applicants to supply letters of support from local elected officials, historical societies, community groups, business people, or other interested parties in order to demonstrate broad-based popular support for the proposed project. Letters of support must be drafted and dated so as to demonstrate that they concern a current and specific grant proposal. Ordinarily, copies of old support letters that were written for other purposes or for previous grant applications will not be counted by the DHPA. Note that the total number of current support letters accompanying the proposal earns points in the grant evaluation process.

I. Resumes

Please submit copies of the resume of the person who will act as Project Coordinator. If the grant-assisted project will include a Principal Investigator who is already a member of the Project Sponsor's staff, please include copies of this person's current resume with the project application. If no Principal Investigator will be used, or if a consultant will be hired later to serve as the Principal Investigator, it is not necessary to submit a resume for this position.

Submitting the Application

Once the application is submitted to the DHPA, the Grants Staff will log-in the application and will verify that all of the required component parts are included. If any of the required parts of the grant application packet are missing, incomplete, or insufficient, the DHPA Staff will notify the applicant immediately. The applicant will then have **seven (7) days** to submit any missing or incomplete parts. Applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

HISTORIC PRESERVATION FUND

ARCHITECTURAL AND HISTORICAL PROJECT PROPOSAL

Application for Federal Historic Preservation Funds Federal Fiscal Year FY2004

Administered by the Indiana Department of Natural Resources, Division of Historic Preservation and Archaeology:
402 West Washington St., Room W274, Indianapolis, Indiana 46204. Phone (317) 232-1646, FAX (317) 232-0693.

1. Project Title: _____

2. Project Sponsor: _____
Address: _____
Daytime Phone: _____ FAX: _____ E-mail: _____
3. Federal Employer's Identification # : _____
4. Congressional District # : _____
5. Project Coordinator's Name: _____
Address: _____
Daytime Phone: _____ FAX: _____ E-mail: _____
6. Principal Investigator's Name: _____
Address: _____
Daytime Phone: _____ FAX: _____ E-mail: _____
7. Project Budget Breakdown:
 - a. Total Project Cost: \$ _____
 - b. Amount of Federal Funding Requested: \$ _____
 - c. Amount of Non-Federal Match: \$ _____
8. Proposed Project Schedule:
Beginning Date (**must** be later than 3/31/04): _____
Ending Date (**cannot** be later than 6/30/05) : _____

9. Supply the information requested below (as appropriate) regarding the products to be created by this project.

a. For Architectural and Historical Survey Projects:

Estimated number of square miles in the survey area: _____

Estimated number of hectares in the survey area: _____
(1 hectare = 2.5 acres = .004 square miles)

Estimated **total number** of sites to be documented on state survey forms: _____

Estimated number of these sites that will be **newly added** to the state inventory: _____
(Only in cases of resurvey should this number differ from the "total number" requested above.)

b. For National Register Nomination Projects:

Estimated number of properties to be listed in the National Register: _____
Count each contributing building within a district counts as one. Please include a sketch map showing the proposed district boundaries as part of the Project Description.

c. For projects resulting in the preparation of Historic Structure Reports, Feasibility Studies, or Architectural or Engineering Plans and Specifications:

Is the property currently listed in the National Register of Historic Places? [] Yes [] No
(*listed individually or as a contributing resource in a district*)

Is the property a National Historic Landmark (1 of 33 in Indiana)? [] Yes [] No

Property Owner: _____

Address: _____

Daytime Phone: _____ FAX: _____ E-mail: _____

Property Address: _____

Is the project within a federally-designated flood area? [] Yes [] No
If yes, attach a copy of the flood insurance policy coverage or other proof of insurance.

d. Other products that will result from this project:

This application prepared and submitted by:

Name/Title: _____

Address: _____

Daytime Phone: _____ FAX: _____ E-mail: _____

Signature: _____ Date: _____

GRANT APPLICATION CHECKLIST

Please submit this completed checklist with the grant application. For proper staff consideration, the grant application **MUST** include the following parts, forms, and documentation:

- _____ Proposal Cover Sheet
- _____ Grant Application Checklist
- _____ Project Description and Timetable
- _____ Statements on Meeting State Priorities (Administrative **and** Categorical)
- _____ Project Budget and Breakdown
- _____ Signed Matching Share with Documentation and/or Letters of Commitment
- _____ Signed Federal Forms (4 total):
 - < Statement of Understanding
 - < Part V -- Assurances
 - < Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion
 - < Assurance of Compliance
- _____ Letters of Support
- _____ Resumes of Project Coordinator and Principal Investigator

Instructions for assembling the grant application:

- A. **Assemble these documents following the order given** on the checklist. Make four (4) photocopies of the proposal packet. Applicants are strongly encouraged to make an additional copy of all documents to retain for their records.
- B. **Combine all of the original documents** into one application packet that is assembled following the order of the checklist above. This one application packet should contain each of the items listed on the checklist and should be clearly identified as the "Original" application.
- C. **Submit the five (5) sets** of the grant application (one original and four copies) to the DHPA prior to **5:00 p.m. on October 10, 2003**. Applications **MUST** be received in the DHPA office prior to this deadline. This is not a postmark deadline -- late applications will not be accepted. Applicants are encouraged to submit their applications early.

The DHPA will log-in each application, and will notify the applicant if any of the required parts of the grant application are missing, incomplete, or insufficient. The applicant will then have **seven (7) days** to submit any missing or incomplete parts. Applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

FY2004 ADMINISTRATIVE PRIORITIES

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address several priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark "NA" as the response.

Max.

Score: Priority will be given to:

- 16 pts 1. Projects that have clear and measurable goals and will result in the creation of valuable products for the State. *Note that the scope of work must be realistic and commensurate with the amount of grant funding requested. Carefully describe the project methodology—how is the project going to be accomplished and what is the project going to produce? List the products or work items individually and specifically (include quantities if applicable. For example: Walking Tour Brochure, 500 copies). Please do not simply repeat the project description.*
- 16 pts 2. Projects whose sponsors have an individual capable of grant administration to act as Project Coordinator. *Provide the name of this person, list their qualifications and grant-administration experience (if any), and submit their resume with the project proposal. Note that past performance of Project Coordinators on DHPA-funded grant projects will be considered. If the quality of previous grant administration was unsatisfactory, points for this priority will be reduced accordingly.*
- 12 pts 3. Projects whose sponsors have not received funding through the DHPA's grants program within the last three fiscal years. *Indicate whether or not the project sponsor has ever received funding in the past from the DHPA, and list the years in which any grant assistance was received. Note that past performance of sponsoring organizations on DHPA-funded grant projects will be considered. If the quality of previous grant administration or products was unsatisfactory, points for this priority will be reduced accordingly.*
- 12 pts 4. Projects that have realistic timetables. *Include a detailed timetable which shows the approximate amount of time (days, weeks, or months) that will be devoted to each of the various phases, tasks, or components of the project. Simply providing begin and end dates for the project does not constitute an acceptable timetable.*
- 12 pts 5. Projects that have realistic and reasonable budgets. *Include a detailed budget breakdown, indicate exactly how the various budget figures were computed, and include copies of any estimates received. Provide a justification for any items which are unusually expensive, or inexpensive (such as discounted or donated goods or services). Upon review of the proposal, the DHPA reserves the right to adjust the scope of work or the grant request in cases where the project budget is out of line with the products to be created.*
- 12 pts 6. Projects that will be undertaken by a governmental agency that has been designated by the State as a Certified Local Government (CLG) for the purpose of carrying out historic preservation activities. *Currently there are twelve CLGs in Indiana: Bloomington, Crown Point, Elkhart, Fort Wayne, Huntington, LaPorte, Logansport, Mishawaka, Monroe County, Muncie, Nappanee, and South Bend & St. Joseph County. Indicate whether or not the project sponsor is a Certified Local Government. (National Park Service certification pending for Evansville and Richmond).*
- 10 pts 7. Projects whose sponsors can show evidence of broad-based community support by submitting letters endorsing the proposed project. *These letters of support must be original, project-specific, and current, and should not be from any person or organization associated with the applicant. Support letters should be sought from historical societies, neighborhood organizations, elected officials, local businesses, and/or any other groups or individuals which might have an interest in the project. Submit*

these letters along with the project application, or have the authors forward them directly to the DHPA. The number of points awarded for this item depends on the number of letters of support submitted.

- 8 pts 8. Projects for which the applicant has 100% of the matching share on-hand and documented. *Provide bank statements, university-approved research budgets, local government departmental budgets, or other documentation to demonstrate that all of the matching share funds are available. Only partial credit will be given to applicants that can document at least 75% of the matching share, or that claim to have 100% of the matching share but do not document it.*
- 8 pts 9. Projects for which the applicant will use a matching share consisting of any combination of cash and in-kind services, with volunteer services not to exceed 10% of the total amount of the matching share. *Describe the match to be used and provide a breakdown if two or more match types are to be included. Maximum points will be given for a total cash or in-kind match, or a combination match using less than 11% volunteer services. Projects using 11% to 25% volunteer services will receive partial credit.*
- 6 pts 10. Projects whose sponsors are a minority or disadvantaged organization. *Explain how the sponsor qualifies as a minority (ethnic background, language, culture, religion, or gender) or otherwise disadvantaged organization.*
- 6 pts 11. Projects that tie into local Millennium Initiatives. *To claim credit for this priority, a local Millennium Committee must exist, and a set of goals/objectives/priorities must have been adopted. Explain how this project ties into local Millennium Initiatives, and document it with a letter from the local Millennium Committee.*
- 4 pts 12. Projects for which the applicant has submitted a complete application. *The application must contain all of the completed forms and required information, and must be submitted to the DHPA prior to the deadline. Applicants are strongly encouraged to submit their applications early so that the DHPA Staff can verify that they are complete. Applications missing any parts after the application deadline will not receive these points, and may receive reduced scores for other priorities.*

122 Points Possible

FY2004 ARCHITECTURAL AND HISTORICAL PRIORITIES

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address one or more priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark "NA" as the response.

Max.

- Score: Priority will be given to:
- | | |
|--------|--|
| 20 pts | 1. Projects that will assist the DHPA in carrying out its responsibilities dealing with National Register, environmental review and compliance issues, or will promote public awareness and understanding of preservation through educational programs. Examples of projects that meet this priority are county or city surveys, National Register historic district nominations, or public education programs that reach a widespread or critical audience. <i>This priority is for the DHPA to evaluate and does not require an answer.</i> |
| 20 pts | 2. Projects that will survey one of the following priority counties: Bartholomew, Cass, Crawford, Dearborn, Floyd, Gibson, Hancock, Johnson, LaGrange, Martin, Orange, Parke, Scott, Steuben, Switzerland, Tipton, Warrick, or Washington; or projects which will publish a recently completed survey. <i>State whether or not the area to be surveyed (or resurveyed) is one of the above counties, a portion (township) of one of these counties, or an area (city) within one of these counties. For survey publication projects, provide only the name of the county and the date that the survey was completed. (This priority is part of the State's on-going efforts to survey all of Indiana's 92 counties, and to update older surveys. County survey records and publications are some of the most valuable tools used in preservation.)</i> |
| 16 pts | 3. Projects that will produce National Register nominations for commercial or residential historic districts that have been identified in State-sponsored surveys, or which will produce National Register nominations for districts within heritage areas that have been identified by the State. <i>Describe how the geographic boundaries and temporal limits of the historic district were established, or describe the significance of the heritage area and provide a justification for the delineation of its boundaries. If the product is to be an historic district nomination, cite the survey in which the district was identified, and offer some justification for why the district is to be nominated to the National Register.</i> |
| 16 pts | 4. Projects that have as their primary purpose efforts to promote public awareness and knowledge of preservation. <i>Explain how the project will promote preservation in Indiana, and identify the audience and geographic areas that will be targeted by such efforts. Products may include, but are not limited to, educational brochures, survey publications, conferences, and workshops.</i> |
| 12 pts | 5. Projects that will produce a multiple property National Register nomination and the associated context study and survey information for an endangered resource type, especially one of the following: historic theaters, rural one- and two-room schools; consolidated public schools built before 1945; Carnegie libraries; Underground Railroad-related resources; iron bridges, concrete bridges, or county social welfare institutions, such as public or private orphanages, guardian homes, sanatoria, and county homes (excluding hospitals). <i>Describe the project and how it will provide a multiple property nomination and the historic context for one of the resource types listed above, and list the threats that make this an "endangered" resource type. Also note how many of the resources will be included in the nomination; note that this number must be significant in relation to the total number of resources inventoried.</i> |

- 12 pts 6. Projects that will encourage financial reinvestment in National Register-listed properties through the preparation of feasibility studies, historic structure reports, or plans and specifications for future rehabilitation projects, or that will provide some form of needed technical assistance. *Describe how the products created under this project will be utilized, such as in a planned rehabilitation project.*
- 12 pts 7. Projects that will make special efforts to include minority (in terms of ethnic background, language, culture, gender, or religion) or disadvantaged organizations and resources. *Describe how the minority or disadvantaged organizations or resources will be included in the project, either as sources of information or as types of resources to be included in a study.*
- 12 pts 8. Projects that will make a significant contribution toward meeting the State's preservation goals and objectives. *This priority is for the DHPA to evaluate and does not require an answer.*

120 Points Possible

HISTORIC PRESERVATION FUND PROJECT BUDGET

Please indicate the proposed budget for the project. The figures on this page, when totaled, should equal the Total Project Cost given on the Proposal Cover Sheet. Please refer to the instructions for category-specific guidelines.

| COST CATEGORY | | AMOUNT REQUESTED |
|--|-----------------------|------------------|
| 1. Personnel -- Paid: This Category refers only to persons on the direct payroll of the sponsoring organization | Administrative | |
| | Professional | |
| | Clerical | |
| 2. Fringe Benefits: Fringe Benefits for paid personnel are allowable. | | |
| 3. Volunteer Personnel -- Unpaid: Volunteer time is valued at minimum wage (\$5.15 per hour). | | |
| 4. Travel: (@ \$0.28 per mile) | | |
| 5. Supplies and/or Materials: | | |
| 6. Architectural Design Fees: | | |
| 7. Advertisement/Publication | | |
| 8. Contractual: | | |
| 9(a). Other: (Describe) | | |
| 9(b). Other: (Describe) | | |

10. **Total Project Cost** \$

11. **Funding Level (50% or 70%)** X %

12. **Grant Amount Requested** \$

The figure representing the Grant Amount Requested should be **rounded down to the nearest whole dollar**, and should be the same as that recorded the Proposal Cover Sheet. Applicants are encouraged to submit a further breakdown of costs, or "Budget Justification Page," on a separate sheet following this form.

MATCHING SHARE

CASH

Donor: _____

Source: _____

Total Cash Amount: \$ _____

IN-KIND SERVICES

Donor: _____

Source: _____

Total In-Kind Services Amount: \$ _____

VOLUNTEER SERVICES

Donor: _____

Source: _____

Total Volunteer Services Amount: \$ _____

TOTAL MATCHING SHARE: \$ _____

Note: This amount should equal that given for the Non-Grant Amount Share on the Proposal Cover Sheet.

CERTIFICATION OF MATCHING SHARE

I certify that the matching share funds/goods/services identified above are available, and that they will be allocated only to the grant-assisted project described in this application and titled:

Project Title

Name and Title of Authorized Representative

Signature

Date

Applicants are strongly encouraged to submit appropriate documentation of the matching share (copies of bank statements, etc.) following this form. Please note that proposals submitted without documentation WILL NOT receive full credit for the matching share under the grant evaluation criteria.

STATEMENT OF UNDERSTANDING FOR HISTORIC PRESERVATION FUND SUBGRANTS

With respect to any grant received from the Department of Natural Resources, Division of Historic Preservation and Archaeology (DNR-DHPA), the applicant indicates by his/her signature that he/she has read, understands, and agrees that:

1. This is a request for consideration for a grant, and not a promise for funding, from the National Park Service HPF program administered by the Department of Natural Resources (DNR).
2. The individual submitting this grant request on behalf of the applicant has the necessary authority to request consideration of this project by the Department of Natural Resources.
3. This is a matching grants program in which only a portion of the total project cost can be supplied by the grant funds; the matching share will be supplied by the grant applicant in the form of cash, donated or volunteer labor, and/or donated supplies in accordance with state and federal regulations.
4. No work covered in this application is to begin until the applicant has been notified in writing that funds have been awarded, and has accepted in writing the terms and conditions of the grant.
5. If a grant is received, all obligations for material or work are to be paid by the applicant, who will then receive reimbursement from the National Park Service through the Indiana Department of Natural Resources, based on prior agreement and approval. The applicant will be required to supply all necessary financial documentation which must include copies of accurate personnel time sheets indicating the effort expended on the project, canceled checks, invoices, and other data as required by the DHPA, unless special arrangements are made.
6. Grants will be administered in accordance with all applicable federal and state laws, regulations, policies, requirements and guidelines, including OMB Circular A-102 and A-110 (as applicable), policies and procedures of the Historic Preservation Grant-in-Aid Program, Title VI of the 1964 Civil Rights Act, non-discrimination on the basis of handicap (Sec. 504 of the Rehabilitation Act of 1973), and equal employment opportunity and labor law requirements of federal grants.
7. Procurement actions will be conducted in a manner that provides for maximum open and free competition in compliance with program requirements, including OMB Circular A-102 and A-110 (as applicable).
8. All costs charged to the grant project will be in payment of an approved budget item during the project period and will conform to the cost principles of (Federal Management Circular 74-4), now OMB Circular A-87 and A-21 (as applicable).
9. In accordance with Title VI of the 1964 Civil Rights Act (P.L. 88-325), the Department of Natural Resources requires that grant applicants not discriminate against any employee or applicant for employment on a historic preservation project because of race, color, sex, national origin, or ancestry. All employees must be advised of equal opportunity and benefits. Any complaint of discrimination must be reported to the State Historic Preservation Officer.
10. Adequate financial resources will be available for performance (including necessary experience, organization, technical qualifications, and facilities) to complete the proposed project or a firm commitment, arrangement or ability to obtain such will be made.
11. An adequate financial management system (and audit procedure when deemed applicable) will be maintained which provides efficient and effective accountability and control of all property, funds and assets.

12. The matching share will not consist of funds from the federal government under another assistance agreement unless authorized.
13. The project, if funded, will be carried out in accordance with the guidelines set forth by the Division of Historic Preservation and Archaeology, Department of Natural Resources, and will be completed within the allotted time.
14. The applicant shall participate in the grant project and shall submit copies of archaeological/architectural data and survey, study, and planning materials to the Department of Natural Resources with the condition that specific site data including site addresses be withheld from public access in accordance with federal law and the regulation and access policy adopted by the Natural Resources Commissions. This condition is necessary to protect property owners from unwanted destruction, risk, or disruption of their property and to protect valuable scientific data, cultural materials, and artifacts that might otherwise be lost or harmed.
15. The applicant will cooperate with the staff of the Department of Natural Resources in meeting all the above requirements, as well as other federal requirements that may apply.
16. Additional administrative requirements and project-specific conditions may be made a part of any grant offer made by the Division of Historic Preservation and Archaeology as a result of this application.
17. Any breaking of the conditions set forth in this Statement of Understanding may mean cancellation of the grant.

The applicant recognizes and agrees that any federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall reserve the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and on the person or persons whose signature(s) appears below and who is/are authorized to sign this assurance on behalf of the Applicant.

Name of Applicant/Project Sponsor

Date

Name and Title of Authorized Representative

Signature

PART V -- ASSURANCES

The Applicant hereby assures and certifies that he/she will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application acceptance and use of federal funds for this federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of the Act, no person in the United States shall, on the ground of race, color, national origin, or ancestry, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limits the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of state and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements for law, program requirements and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.
10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
11. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition

purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase “federal financial assistance” includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect federal assistance.

12. It will assist the federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archaeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

Name of Applicant/Project Sponsor

Date

Name and Title of Authorized Representative

Signature

U.S. DEPARTMENT OF THE INTERIOR
CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION

Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisition and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(Before completing this CERTIFICATION, read the instructions below.)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name of Applicant/Project Sponsor

Date

Name and Title of Authorized Representative

Signature

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing

Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**U.S. DEPARTMENT OF THE INTERIOR
ASSURANCE OF COMPLIANCE
(TITLE VI, CIVIL RIGHTS ACT OF 1964)**

_____, hereinafter called "Applicant-Recipient,"
(Name of Applicant-Recipient)

HEREBY AGREES THAT IT will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Department of the Interior Regulation (43 CFR 17) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant-Recipient receives financial assistance from the **Department of Natural Resources**, and

HEREBY GIVES ASSURANCE THAT IT will immediately take any measures to effectuate this agreement if any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant-Recipient by the **Department of Natural Resources**.

This assurance obligates the Applicant-Recipient, or in the case of any transfer of such property, any transferee for the period during which the real property or structure is used for a purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance obligates the Applicant-Recipient for the period during which it retains-ownership or possession of the property. In all other cases, this assurance obligates the Applicant-Recipient for the period during which the Federal financial assistance is extended to it by the **Department of Natural Resources**.

THIS ASSURANCE IS GIVEN in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property discounts or other Federal financial assistance extended after the date hereof to the Applicant-Recipient by the bureau or office, including installment payments after such date on account of arrangements for Federal financial assistance which were approved before such date. The Applicant-Recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall reserve the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant-Recipient, its successors, transferees, and assignees, and the person or persons whose signature appears below are authorized to sign this assurance on behalf of the Applicant-Recipient.

Name of Applicant/Project Sponsor

Date

Name and Title of Authorized Representative

Signature

36 CFR PART 61
Section 61.5 -- Professional Qualifications

In the following definitions, a year of full-time professional experience need not consist of a continuous year of full-time work, but may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

A. History

The minimum professional qualifications in history are a graduate degree in history or a closely related field; **or** a bachelor's degree in history or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historical organization or agency, museum, or other professional institution; **or**
2. Substantial contribution to the body of scholarly knowledge in the field of history through research and publication.

B. Archaeology

The minimum professional qualifications in archaeology are a graduate degree in archaeology, anthropology, or a closely related field, **plus**:

1. At least one year of full-time professional experience or equivalent specialized training in archaeological research, administration, or management; **and**
2. At least four months of supervised field and analytic experience in general North American archaeology; **and**
3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in **prehistoric archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in **historic archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the historic period.

C. Architectural History

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with course work in American architectural history; **or** a bachelor's degree in architectural history with a concentration in American architecture; **or** a bachelor's degree in architectural history, art history, historic preservation, or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; **or**

2. Substantial contribution to the body of scholarly knowledge in the field of American architectural history through research and publication.

D. Architecture

The minimum professional qualifications in architecture are a professional degree in architecture **plus** at least two years of full-time professional experience in architecture; **or** a State license to practice architecture.

E. Historical Architecture

The minimum professional qualifications in historical architecture are a professional degree in architecture; **or** a State license to practice architecture **plus** one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field **and** at least one year of full-time professional experience on preservation and restoration projects; **or**
2. At least two years of full-time professional experience on preservation and restoration projects.

Experience on preservation and restoration projects shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

APPENDIX B

PROCEDURES FOR THE GRANT SELECTION PROCESS

I. State Review Board determines funding criteria.

- A. DHPA Staff provides recommendations to the Board, indicating:
 - 1. Suggested priority statements and corresponding point values for Administrative qualifications, and Architectural and Historical, Archaeological, and Acquisition and Development projects.
 - 2. Minimum and maximum level of funding for grants within the three categories.
 - 3. Minimum point score required to qualify for grant funding.
 - 4. Amount of funding targeted for Certified Local Government applicants.
 - 5. Amount of funding targeted for each of the three project categories.
- B. Board reviews Staff's recommendations, makes any appropriate revisions, and adopts the funding criteria.

II. DHPA Staff solicits and accepts grant applications.

- A. Staff prepares a grant application packet based on the criteria adopted by the Board.
- B. Staff advertises the availability of grant funds at least 60 days prior to the application closing date and supplies application packets to interested parties.
- C. Staff receives and logs completed grant applications.

III. Applications are evaluated, scored, and ranked.

- A. Grants management staff reviews each application to determine the category and program area(s) involved.
- B. Grant management staff establishes committees to review each application.
 - 1. Each committee will include at least two grants management staff members.
 - 2. Each committee will include at least three program area staff members, two of whom must meet 36 CFR 61 requirements in disciplines relevant to the work proposed in the application.
- C. Committee members score each application independently, and then meet to discuss each project and the corresponding scores.
- D. Committee chairman records the five scores for each project.
- E. Committee chairman discards the highest and lowest scores, computes the average of the other three, and reports that figure as the committee point score for each criteria. The average scores for each criterion in both sets of priorities are totaled to arrive at the total scores for each project.

IV. DHPA staff prepares and presents staff comments to the State Review Board.

- A. Grants management staff organizes the grant applications by category (Architectural and Historical, Archaeological, and Acquisition and Development).
- B. Within each category, applications are arranged by point score, from highest to lowest.
- C. Grants management staff prepares written comments for the Review Board for each category of application. Comments include the name of the applicant, budget information, a brief description of the proposed project, the staff's opinions as expressed in the committee meetings, the committee point score, and a sheet detailing, priority by priority, how the committee score was computed.
- D. The staff comments are provided to the board members for their study at least ten days before the next Review Board meeting.

V. The State Review Board determines funding allocations.

- A. Grant management staff presents the staff's grant comments at the next meeting of the Review Board.
- B. The Board determines which of its members, if any, has a conflict of interest (or the appearance of conflict of interest) in any grant applications and arranges to have such members abstain from voting on such applications.

- C. The Board discusses the applications and staff comments and invites public comment from those in attendance.
- D. The Board reviews the point scores awarded by the committee.
- E. The Review Board determines funding allocations.
 - 1. The Board allocates funding to applicants who are Certified Local Governments based on point score until the minimum amount targeted for CLGs is reached.
 - 2. The Board allocates funding for Architectural and Historical projects to all eligible applicants based on point score until the amount targeted for this category is exhausted.
 - 3. The Board allocates funding for Archaeological projects to all eligible applicants until the amount targeted for this category is exhausted.
 - 4. The Board allocates funding for Acquisition and Development projects based on point score to all eligible applicants until the amount targeted for this category is exhausted.
- F. The Board determines how to dispose of any excess funds.
 - 1. The Board may elect to shift funds targeted for one category to a different category in order to allocate excess funds, or
 - 2. The Board may direct the staff to conduct a second grant round in order to allocate the excess funds.

FREE ADVICE FOR COMPLETING HPF GRANT PROPOSALS

The following advice for HPF applicants has been prepared by the DHPA Grants Staff. These points cover the areas or parts of the HPF grant proposal format that are most often found to be weak, incomplete, or inadequate. By following the advice spelled out below, it is likely that your proposal will be better prepared and will score more points as a result. Remember, the HPF matching grants program is very competitive; in 2003 approximately \$1,226,000 was requested where there was only \$511,000 available for distribution in the form of subgrants!

SOME BASIC “DOS AND DON'TS” IN PREPARING THE PROPOSAL:

- Do** Consult the Grants Staff ANYTIME you have questions about preparing the proposal, particularly when there are questions involving the priorities, the project budget, or the matching funds.
- Do** Assemble the five copies of the proposal carefully following the order given in the Grant Application Checklist. Many times, proposals are assembled incorrectly or out of order, requiring the Grants Staff to take them apart and reassemble them. It is much easier for the DHPA Staff to review proposals when they are all assembled in the same manner; this makes it easy to compare one proposal to another or to find quickly a specific part or page in any individual proposal.
- Do** Give your proposal to someone else to read/proofread before submitting it. It is often advisable to have someone NOT connected with the project read over the proposal. If they are left with questions about the project, then the project description or the responses to the priorities may be too brief or too vague. You may then revise the parts of the proposal as necessary.
- Do** Submit your proposal early, if possible. This allows the Grants Staff to check your proposal and make sure that everything is in order. If parts are missing or incomplete, the Grants Staff will notify you immediately. If your proposal is submitted early, you will have extra time to make the necessary changes or additions; otherwise, you will have only seven days after the grant deadline to put everything in order.
- Do** Ask for letters of support from local people and organizations who support your project. It is best if these letters can be submitted directly with the proposal; however, they may be submitted separately. Please be sure that letters being submitted separate from the proposal are mailed in time to reach the DHPA by the application deadline. Letters received after the first evaluation session WILL NOT be considered.

- Don't** Wait until the last minute to begin preparing your proposal. Supporting documentation is extremely important and may take several weeks to collect or put together, especially budget information, matching share documentation, written estimates for proposed work, and letters of support. Proposals prepared at the last minute often lack the necessary details and documentation, and generally do not score very well because of it. Remember, this is an extremely competitive program -- take the time necessary to put together a quality proposal!
- Don't** Submit your proposal in a three-ring binder or a plastic folder cover, spiral bound with a wire or plastic comb, with section dividers between parts, or with the pages inserted in plastic sleeves. If the Grants Staff needs to reorganize the proposal, these covers, bindings, or dividers often make it difficult, if not impossible, to take apart and reassemble the proposal. Divider pages between sections actually make it MORE difficult for the DHPA Staff to quickly find a certain page, while three-ring binders take up too much filing space, and pages inserted in plastic sleeves prevent the Staff from making notes directly on the proposal. The Grants Staff prefers that all proposals look the same, as they are much easier to handle and review. The score given to each project application is directly derived from the CONTENT, not the appearance, of the grant proposal.

FIVE EASY WAYS TO MAKE YOUR PROPOSAL SCORE MORE POINTS:

1. **Include a thorough and detailed project description.** This project description should cover every item or task to be completed under the grant-assisted project. If the proposed grant project is a part, component, or phase of a much larger or comprehensive project, briefly describe the overall project and how the proposed grant project fits into the big picture. Then describe the proposed grant project in detail. List and describe every product that will result from the grant project, and discuss any potential spin-off benefits of the project. A thorough and detailed project description generally should not exceed three type-written pages.
2. **Include a detailed timetable for the proposed grant project.** This timetable should allow time for the project initiation by DHPA Staff, procurement of goods and services (bidding), and should address every task, aspect, or component of the project. Break down the timetable by the number of days, weeks, or months necessary to complete each task or phase of the project. The timetable should set forth a clear, realistic, and reasonable schedule for the completion of the grant project. Simply providing begin and end dates for the project does not constitute an acceptable timetable. Proposals with vague, poorly detailed, or unrealistic timetables often score fewer than half of the points possible for this evaluation criteria.
3. **Include a detailed and documented project budget.** The budget should be broken down in detail on a separate page after the budget form. This breakdown should follow the budget categories or line-items on the budget form, and should show how the total amount for each line-item was calculated. Be certain to include all project costs in the appropriate budget line-items. If grant funding is offered, reimbursements will only be made for those items included in the original project budget. Whenever possible, include written estimates from consultants or contractors for the goods and services to be used in the proposed project -- this is especially critical for Acquisition and Development proposals. This kind of documentation proves that the budget is reasonable and accurate. While submitting a budget breakdown page and other project cost documentation is not strictly required, including these items greatly improves the quality of the project budget and guarantees a higher score for the budget criteria.
4. **Include documentation to support the applicant's matching share.** Obtaining copies of bank statements, written pledges or commitments, or other financial documentation may take several days or even weeks, so be sure to allow enough time to accomplish this task prior to the project deadline. While submitting supporting documentation for the matching share is not required, submitting this documentation proves that the required funds are on-hand and available and that the project may begin immediately. Because HPF grants are "reimbursement grants" where the subgrantee is reimbursed for project costs (grant money is NOT distributed up-front), without the required matching share in place to leverage the grant funds, the project cannot move forward.
5. **Include detailed and accurate responses to the priorities.** There are two sets of priorities: Administrative and Categorical. The applicant's responses to these priorities are what the DHPA Staff uses to evaluate and score the proposal, so you should pay particular attention to this part of the proposal. In general, more clear and detailed responses will score better than vague or unclear responses. Please provide clear, thorough, and detailed responses whenever required by the wording of the priority statements. However, take note that many priorities require only simple and concise answers. Whenever a proposed project will not meet a specific priority, mark "NA" as the response and move on to the next item. No project will meet every single priority statement; however, providing adequate detail where necessary will give the DHPA Staff the best possible understanding of your particular project, which should result in the best possible score for your proposal.

By carefully following the advice given above, a grant applicant should be able to avoid the most common pitfalls of preparing a grant proposal. A quality grant proposal is the sum of many quality parts. One or two weak parts of the proposal may mean the difference of several points, which in turn may mean the difference between the proposal being funded and not being funded. **If you have questions, don't be afraid to ask for advice or guidance!**